

## **APPENDIX A –DISCLOSURE CATEGORIES**

The following Disclosure Categories are established for the San Luis Obispo County Conflict of Interest Code. Disclosures are to be made utilizing Form 700 prepared annually by the California Fair Political Practices Commission, and distributed by the San Luis Obispo County Clerk's Office. Filers should follow the instructional manual included with the Form 700 in disclosing the interests required by this code.

**Disclosure Category 1:** Interests in real property<sup>1</sup> located within, or not more than two miles, outside the County boundary.

**Disclosure Category 2:** Investments<sup>2</sup> in, and income<sup>3</sup> from, any business entity doing business within the County.<sup>4</sup>

**Disclosure Category 3:** Income of any business entity in which the filer<sup>5</sup> or spouse owns a 10% interest or greater which is derived from client(s) or customer(s) who, with reasonable foreseeability, could be materially affected by the decisions made or participated in by the filer.

**Disclosure Category 4:** Gross income totaling more than \$500 received by the filer or spouse from any source located in, doing business in, planning to do business in, or which has done business in San Luis Obispo County within the last two years.

**Disclosure Category 5:** Investments and business positions in business entities and income from sources that provide services, supplies, materials, machinery or equipment of the type provided by or utilized by the County of San Luis Obispo.

**Disclosure Category 6:** Investments in and income from sources that, within the past two-year period, have contracted with the County to provide services (including consulting services), supplies, materials, machinery or equipment to the filer's department, division, or agency, or because of the type of product or service supplied, may with reasonable foreseeability contract to provide products or services, of the type utilized by the filer's department, division, or agency in the next one-year period.

**Disclosure Category 7:** Investments and business positions in business entities, and sources of income from business entities that are subject to the regulatory, permit, or licensing authority of the filer's department or agency.

**Disclosure Category 8:** Investments and business positions in and sources of income from business entities that engage in any of the following:

- a. The acquisition, sale, lease, or development of real property;
- b. Facility construction or design;
- c. Providing grounds or facility maintenance repair, services or supplies;
- d. Providing consulting services of the type which have, in the past two years, or which with reasonable foreseeability, may be utilized within the next one-year period by the department or agency.

**Disclosure Category 9:** Investments in, and income from any business entities or persons:

- a. Engaged in insurance brokerage or consulting services;
- b. Who or which have filed a claim, or have a claim pending against the County of San Luis Obispo for which the filer or filer's department makes decisions.

**Disclosure Category 10:** Investments and business positions in business entities and income from sources that provide services of the type for which the designated employee makes referrals.

**Disclosure Category 11:** Interests in, or income from, any business entity doing business within the County and engaged in selling life insurance or providing mortgage brokerage services.

**Disclosure Category 12:** Investments in, and income from, any business entity:

- a. Engaged in the past two year period by the County Purchasing Agent or designee as an independent contractor or which, with reasonable foreseeability, will be engaged in the next one-year period;
- b. Doing business within the County and engaged in Automobile repair or parts supply;
- c. From which the County has in the past two years purchased, leased, or rented materials, supplies, furnishings, equipment, livestock or other personal property, or may with reasonable foreseeability contract to provide products or services to the Department in the next one-year period.

**Disclosure Category 13:** Investments in, and income from, any business entity doing business within the County and engaged in:

- a. Design or construction of park facilities;
- b. Providing grounds or building maintenance, repair, services or supplies;

**Disclosure Category 14:** Investments in, and income from business entities involved in activities intended to promote the general tourism of the San Luis Obispo County Tourism Business Improvement District (SLOCTBID) or the County, including but not limited to the promotion and marketing of the following: (a) SLOCTBID or County conferences, groups or film businesses; (b) the travel industry; and (c) the cultural, environmental, recreational, historical, or other type of infrastructure assets within SLOCTBID or the County.

**Disclosure Category 15:** Investments in, and income from, any business entity doing business within the County and engaged in the provision of:

- a. Medical/psychological counseling or consultation services arranged by employees within the filer's department for public assistance applicants or recipients;
- b. Social services in the areas of child care, in-home supportive services, out-of-home services for children and adults, and employment services;
- c. Management consultation or training services to department employees.

**Disclosure Category 16:** Investments in, and income from, any business entity doing business within the County and engaged in:

- a. Supply, manufacture, application, disposal, or other dealings with pesticides or hazardous materials on a commercial basis;
- b. Growing, processing or selling of, or dealing in, agricultural products on a commercial basis;
- c. Bee management and honey production on a commercial basis;
- d. Growing and selling nursery stock;
- e. Use, sale, repair or maintenance of weighing and measuring equipment;
- f. Providing consulting services of the type which have been utilized in the past two years, or which with reasonable foreseeability may be utilized in the next one-year period by the filer's particular division within the department;
- g. Involvement with any business entity, on a commercial basis, which is regulated by or influenced by the San Luis Obispo County Department of Agriculture/Masurement Standards;
- h. Involvement in any pest management business on a commercial basis;
- i. Brokering, selling, or other involvement in agricultural property real estate transactions.

**Disclosure Category 17:** Investments in and income from any business entity doing business within the boundary of any commission approved airport land use plan.

**Disclosure Category 18:** Investments in, and income from, any business entity doing business within the County and engaged in:

- a. Acquisition, sale, lease or development of real property;
- b. Building construction or design;
- c. Design, construction or maintenance of water systems and sewage disposal systems;
- d. Drilling or maintenance of water wells;
- e. Producing, processing, selling at retail, vending or serving food;
- f. Garbage collection or operating garbage disposal sites;
- g. Design, construction or maintenance of swimming pools;
- h. Laboratory testing of water and sewage;
- i. Use, sale, repair or maintenance of air pollution control or monitoring equipment.

**Disclosure Category 19:** Investments and business positions in and sources of income from business entities that engage in any of the following:

- a. The acquisition, sale, lease, or development of real property;
- b. Building or facilities construction or design;
- c. Providing grounds or building/facility maintenance;
- d. Providing for the sale of building or construction materials, grading, repair, services or supplies;
- e. Selling, leasing or repairing of construction equipment;
- f. Real and personal property appraisal services;
- g. Providing mapping or surveying services;
- h. Use, design, sale, repair, or maintenance of air pollution monitoring equipment;
- i. Design, construction, or maintenance of water systems, sewage disposal systems, electrical systems, plumbing systems and mechanical systems;
- j. Providing consulting services of the type which have been, in the past two years, or which, with reasonable foreseeability may be utilized in the next one year period by the filer's department or agency.

**Disclosure Category 20:** Investments in, and income from, any business entity doing business with the County and engaged in:

- a. Acquisition, sale, lease or development of real property;
- b. Building, construction, or design;
- c. Providing construction services or supplies;
- d. Selling, leasing, or repairing of construction equipment;
- e. Providing mapping or surveying services;
- f. Providing engineering consulting services in the areas of County responsibility;
- g. Providing consulting services of the type which have, in the past two years, or which with reasonable foreseeability, may be utilized in the next one-year period by the filer's department.

**Disclosure Category 21:** Investments <sup>(2)</sup> in, and income <sup>(3)</sup> from, any business entity doing business with the County and engaged in:

- a. The acquisition, sale, lease or development of real property;
- b. Providing title search services;
- c. Providing escrow services;
- d. Providing micrographic services;
- e. Providing attorney services including, but not limited to, process service, legal typing, messenger service, and document preparation outside of normal scope of duties;
- f. Providing election supplies and services, including software and hardware;
- g. Printing election materials;
- h. Providing historical document repair and restoration services;
- i. Providing software and/or hardware solutions that may with reasonable foreseeability be utilized by the Department;
- j. Providing back-file conversion services, including but not limited to indexing, paper to scanned image and micrographic to scanned image.
- k. Providing secured storage solutions for archival purposes.

**Disclosure Category 22:** Investments in, and income from, any business entity doing business with the County and engaged in:

- a. Funeral or burial services;
- b. Providing consulting services of the type which have, in the past two years, or which with reasonable foreseeability, may be utilized in the next one-year period by the department;

- c. Providing audit services.

**Disclosure Category 23:** Investments <sup>(2)</sup> in, and income <sup>(3)</sup> from, any business entity doing business within the County and engaged in:

- a. Aviation activities, if the business entity presently leases space or in the next one-year period foreseeably will lease space at County Airports; or
- b. Providing consulting services of the type which have, in the past two years, or which with reasonable foreseeability, may be utilized in the next one-year period by the filer's particular department.

**Disclosure Category 24:** Income from:

- a. Business entities that have done business with the County in the previous two years;
- b. Individuals who are county employees.

**Disclosure Category 25:**

- a. Interests in real property used as the site facility that provides residential care services for adult or juvenile probationers or parolees of the County;
- b. Investments in and income from any business entity that:
  - i. Provides residential care services for adult or juvenile probationers or parolees of the County;
  - ii. Provides equipment, services, or supplies to the Probation Department that are not obtained through the County Purchasing Agent.

**Disclosure Category 26:** Investments in and income from any business entity doing business within the County and engaged in the sale, rental, distribution or supply of book, audio-visual materials, microfilm equipment, or other library-related materials.

**Disclosure Category 27:** Investments in and income from any business entity doing business within the County and engaged in:

- a. The acquisition, sale, lease or development of real estate within the County.

- b. Construction or design of civil engineering projects, either as a contractor or subcontractor.

**Disclosure Category 28:**

- a. All interests and investments in real property in the jurisdiction of the Workforce Investment Board (WIB), which were acquired by, leased, or otherwise used by the WIB or which, with reasonable foreseeability, may be materially affected by the operations of the WIB.
- b. All personal income of from any source within the jurisdiction of the WIB which, with reasonable foreseeability, may be materially affected by the operations of the WIB.
- c. Any income from a business entity within the jurisdiction of the WIB which, with reasonable foreseeability, may be materially affected by the operation of the WIB.

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<sup>1</sup> “Interest in real property” includes any leasehold, beneficial or ownership interest or an option to acquire such an interest in real property located in the jurisdiction owned directly, indirectly or beneficially by the public official, or other filer, or his or her immediate family if the fair market value of the interest is two thousand dollars (\$2,000) or more. Interests in real property of an individual includes a pro rata share of interests in real property of any business entity or trust in which the individual or immediate family owns, directly, indirectly or beneficially, a 10-percent interest or greater. Excluded are interests in real property with a fair market value of less than \$2,000 or property that is used principally as the filer's place of residence.

<sup>2</sup> As used herein, “investment” means any financial interest in or security issued by a business entity, including, but not limited to, common stock, preferred stock, rights, warrants, options, debt instruments, and any partnership or other ownership interest owned directly, indirectly, or beneficially by the public official, or other filer, or his or her immediate family, if the business entity or any parent, subsidiary, or otherwise related business entity has an interest in real property in the jurisdiction, or does business or plans to do business in the jurisdiction, or has done business within the jurisdiction at any time during the two years prior to the time any statement or other action is required under this title. An asset shall not be deemed an investment unless its fair market value equals or exceeds two

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thousand dollars (\$2,000). The term “investment” does not include a time or demand deposit in a financial institution, shares in a credit union, any insurance policy, interest in a diversified mutual fund registered with the Securities and Exchange Commission under the Investment Company Act of 1940 or in a common trust fund created pursuant to Section 1564 of the Financial Code, interest in a government defined-benefit pension plan, or any bond or other debt instrument issued by any government or government agency. Investments of an individual includes a pro rata share of investments of any business entity, mutual fund, or trust in which the individual or immediate family owns, directly, indirectly, or beneficially, a 10-percent interest or greater. The term “parent, subsidiary or otherwise related business entity” shall be specifically defined by regulations of the commission. (Gov. Code 82034.)

<sup>3</sup> (a) “Income” means, except as provided in subdivision (b), a payment received, including but not limited to any salary, wage, advance, dividend, interest, rent, proceeds from any sale, gift, including any gift of food or beverage, loan, forgiveness or payment of indebtedness received by the filer, reimbursement for expenses, per diem, or contribution to an insurance or pension program paid by any person other than an employer, and including any community property interest in the income of a spouse. Income also includes an outstanding loan. Income of an individual also includes a pro rata share of any income of any business entity or trust in which the individual or spouse owns, directly, indirectly or beneficially, a 10-percent interest or greater. **“Income,” other than a gift, does not include income received from any source outside the jurisdiction and not doing business within the jurisdiction, not planning to do business within the jurisdiction, or not having done business within the jurisdiction during the two years prior to the time any statement or other action is required under this title.**

(b) “Income” also does not include:

(1) Campaign contributions required to be reported under Chapter 4 (commencing with Section 84100).

(2) Salary and reimbursement for expenses or per diem, and social security, disability, or other similar benefit payments received from a state, local, or federal government agency and reimbursement for travel expenses and per diem received from a bona fide nonprofit entity exempt from taxation under Section 501(c)(3) of the Internal Revenue Code.

(3) Any devise or inheritance.

(4) Interest, dividends, or premiums on a time or demand deposit in a financial institution, shares in a credit union or any insurance policy, payments received under any insurance policy, or any bond or other debt instrument issued by any government or government agency.

(5) Dividends, interest, or any other return on a security which is registered with the Securities and Exchange Commission of the United States government or a commodity future registered with the Commodity Futures Trading Commission of the United States government, except proceeds from the sale of these securities and commodities futures.

(6) Redemption of a mutual fund.

(7) Alimony or child support payments.

(8) Any loan or loans from a commercial lending institution which are made in the lender's regular course of business on terms available to members of the public without regard to official status.

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(9) Any loan from or payments received on a loan made to an individual's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, uncle, aunt, or first cousin, or the spouse of any such person, provided that a loan or loan payment received from any such person shall be considered income if he or she is acting as an agent or intermediary for any person not covered by this paragraph.

(10) Any indebtedness created as part of a retail installment or credit card transaction if made in the lender's regular course of business on terms available to members of the public without regard to official status.

(11) Payments received under a defined benefit pension plan qualified under Internal Revenue Code Section 401(a).

(12) Proceeds from the sale of securities registered with the Securities and Exchange Commission of the United States government or from the sale of commodities futures registered with the Commodity Futures Trading Commission of the United States government if the filer sells the securities or the commodities futures on a stock or commodities exchange and does not know or have reason to know the identity of the purchaser. (Gov. Code, § 82030.)

<sup>4</sup> Only investments in and sources of income from business entities that do business in San Luis Obispo County, plan to do business in the county within the next year, or have done business in the county within the past two years should be reported. A business entity is deemed to be doing business within the county if it owns real property within San Luis Obispo County.

<sup>5</sup> The “filer” means the person who is required to file a statement of economic interest by virtue of the designation of a person’s position in the Designated Position List for the particular department or agency as set forth herein.